United Nations CTOC/COP/2014/6

# Conference of the Parties to the United Nations Convention against Transnational Organized Crime

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**Seventh session**
Vienna, 6-10 October 2014
Item 2 (b) of the provisional agenda*
**Review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto: Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children**

## Report on the meeting of the Working Group on Trafficking in Persons held in Vienna from 6 to 8 November 2013

### Note by the Secretariat

1. In its decision 4/4, the Conference of the Parties to the United Nations Convention against Transnational Organized Crime acknowledged that the Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, supplementing the Convention, was the principal legally binding global instrument to combat trafficking in persons. The Conference also decided to establish an open-ended interim working group on trafficking in persons. The previous meetings of the Working Group were held on 14 and 15 April 2009, from 27 to 29 January 2010, on 19 October 2010 and from 10 to 12 October 2011.

2. In its resolution 6/1 on ensuring effective implementation of the Organized Crime Convention and its Protocols, the Conference decided that the mandates for the Working Group on Trafficking in Persons should be continued and that its areas for future work should reflect, as appropriate, the recommendations contained in the report of the Working Group on its previous meeting.[1]

3. In the same resolution, the Conference also welcomed the substantive debate and activities carried out by the Working Group and underlined its contribution to facilitating the full implementation of the Trafficking in Persons Protocol.

4. The Working Group on Trafficking in Persons held its fifth meeting from 6 to 8 November 2013. In accordance with the decision of the extended Bureau of the

* CTOC/COP/2014/1.

[1] CTOC/COP/WG.4/2011/8, paras. 46-51.

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Conference of 12 December 2013, the report on the fifth meeting of the Working Group on Trafficking in Persons (CTOC/COP/WG.4/2013/5) will be made available to the Conference at its seventh session.

United Nations CTOC/COP/2014/7

# Conference of the Parties to the United Nations Convention against Transnational Organized Crime

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**Seventh session**
Vienna, 6-10 October 2014
Item 2 (c) of the provisional agenda*
**Review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto: Protocol against the Smuggling of Migrants by Land, Sea and Air**

## Report on the meeting of the Working Group on the Smuggling of Migrants held in Vienna from 11 to 13 November 2013

### Note by the Secretariat

1. Pursuant to resolution 5/3 of the Conference of the Parties to the United Nations Convention against Transnational Organized Crime, an open-ended intergovernmental interim working group on the smuggling of migrants was established to advise and assist the Conference in the implementation of its mandate with regard to the Protocol against the Smuggling of Migrants by Land, Sea and Air, supplementing the Convention. The first meeting of the Working Group was held from 30 May to 1 June 2012.

2. In its resolution 6/1 on ensuring effective implementation of the Organized Crime Convention and its Protocols, the Conference welcomed the substantive debate and activities carried out by the Working Group and underlined its contribution to the full implementation of the Smuggling of Migrants Protocol.

3. In its resolution 6/3 on the implementation of the Smuggling of Migrants Protocol, the Conference decided that the Working Group should continue to perform the functions set forth in resolution 5/3. The Conference also decided that the Working Group should hold at least one intersessional meeting prior to the seventh session of the Conference and noted in that regard the recommendation of the Working Group that the next meeting should focus on good practices in special investigative techniques and the establishment of multiagency centres.

* CTOC/COP/2014/1.

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4. The Working Group on the Smuggling of Migrants held its second meeting from 11 to 13 November 2013. In accordance with the decision of the extended Bureau of the Conference of 12 December 2013, the report on the second meeting of the Working Group on the Smuggling of Migrants (CTOC/COP/WG.7/2013/5) will be made available to the Conference at its seventh session.

United Nations CTOC/COP/2014/8

# Conference of the Parties to the United Nations Convention against Transnational Organized Crime

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26 June 2014

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**Seventh session**
Vienna, 6-10 October 2014
Item 2 (d) of the provisional agenda*
**Review of the implementation of the United Nations Convention against Transnational Organized Crime and the Protocols thereto: Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition**

## Activities of the Working Group on Firearms

### Report submitted by the Chair of the Working Group

## I. Introduction

1. The present report has been prepared pursuant to resolution 6/2, adopted by the Conference of the Parties to the United Nations Convention against Transnational Organized Crime, in which the Conference expressed its appreciation for the work of the Working Group on Firearms at its meeting held in Vienna on 21 and 22 May 2012 and took note of the recommendations contained in the report of the Working Group.[1] The Conference also requested the Working Group on Firearms to continue advising and assisting the Conference in the implementation of its mandate with regard to the Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition in accordance with that resolution, and invited the Working Group to consider practical proposals for implementing the recommendations formulated at its meeting held on 21 and 22 May 2012.

2. In the same resolution, the Conference decided that the Working Group would hold at least one intersessional meeting and that the Secretariat, in cooperation with the Chair of the Working Group on Firearms, would prepare a report on the activities of the Working Group, to be submitted to the Conference at its seventh session.

* CTOC/COP/2014/1.
[1] CTOC/COP/2012/6.

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3. The Working Group on Firearms held its second meeting in Vienna from 26 to 28 May 2014.[2] The meeting was chaired by Carmen Cecilia Villanueva Bracho (Mexico). The present report contains a summary of the work conducted as well as the recommendations adopted by the second meeting of the Working Group on Firearms, and was prepared by the Chair of that meeting, in cooperation with the Secretariat.

## II. Activities of the Working Group on Firearms

### A. Agenda of the second meeting of the Working Group on Firearms

4. The provisional agenda of the second meeting of the Working Group on Firearms was as follows:

1. Organizational matters:

   (a) Opening of the meeting;

   (b) Adoption of the agenda and organization of work.

2. Challenges and good practices in the criminalization, investigation and prosecution of illicit firearms trafficking, and measures to enhance international cooperation in criminal matters, including through effective tracing of firearms in ongoing investigations.

3. Monitoring the illicit trafficking flows in firearms at the national, regional and global levels.

4. Challenges and good practices to prevent illicit manufacturing of firearms.

5. Other matters.

6. Adoption of the report.

5. The Chair encouraged the speakers to be factual in their statements and not to limit themselves to national experiences, but to consider possible broader recommendations and suggestions, which the Working Group might wish to bring forward and submit to the Conference for consideration and possible adoption at its seventh session.

6. Further, the Chair proposed the inclusion of a new agenda item on coordination with relevant international bodies in combating the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition. Several delegations emphasized the need for coordination with other agencies but proposed to integrate eventual discussions under the substantive items already included in the provisional agenda. Those constructive suggestions were supported by the Group, and the agenda was adopted without the insertion of a new item.

7. The Chair provided a brief summary of the overall mandate of the Working Group, as outlined in Conference decisions 5/4 and 6/2, and of the progress made in the implementation of the recommendations adopted by the Working Group at its

[2] See CTOC/COP/WG.6/2014/4.

first session. The Working Group acknowledged the relevance of those recommendations and decided to endorse them and to encourage States to continue to implement them. Therefore, the Chair requested the Working Group to formulate practical recommendations, as mandated by the Conference of the Parties.

## 2. Challenges and good practices in the criminalization, investigation and prosecution of illicit firearms trafficking, and measures to enhance international cooperation in criminal matters, including through effective tracing of firearms in ongoing investigations

8. For its consideration of agenda item 2, the Working Group had before it two background papers prepared by the Secretariat, one on challenges and good practices in countering the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition (CTOC/COP/WG.6/2014/2) and the other on the activities of the United Nations Office on Drugs and Crime (UNODC) to promote the ratification and implementation of the Firearms Protocol (CTOC/COP/WG.6/2014/3).

9. In addition, the Secretariat provided a presentation on the work carried out by the UNODC Global Firearms Programme to support the implementation of the Firearms Protocol since the first meeting of the Working Group, and on the status of adherence to the Protocol. The Group noted with appreciation that the number of States parties had increased steadily during the reporting period, reaching 109. The Secretariat provided further clarifications on particular aspects of its work, such as the legislative assistance provided to Member States, the use of technical assistance tools, in particular the Model Law on Firearms, the provision of marking support, and cooperation with civil society and with the private sector.

10. Several delegations expressed support and praised the comprehensive and integrated approach of the Global Firearms Programme, encompassing legislative development, technical support for marking, record-keeping, collection and destruction of firearms, training and capacity-building, firearms data collection, and research and analysis, and noted with appreciation the expansion of the Programme to new countries in South America, West Africa and the Sahel region. The Working Group took note of difficulties encountered by the Programme in responding to the growing number of assistance requests from Member States, owing to the lack of regular and extrabudgetary resources to promote the Firearms Protocol and its ratification and implementation. Moreover, the Working Group stressed the need to ensure a basic level of sustainable and predictable funding through both regular budget and voluntary contributions, in order to support the planning and design of core activities and the provision of legislative and technical assistance activities for requesting States. In this regard, the Working Group recommended the Conference to request UNODC to continue to promote and facilitate the ratification and implementation of the Protocol, especially in regions with low ratification rates, and further recommended the Conference to encourage Member States and other donors to consider providing extrabudgetary resources to UNODC to facilitate technical and legislative assistance to Member States.

11. Four expert panellists from national administrations and intergovernmental and regional organizations contributed to the discussions under agenda item 2. One panellist, from the United States of America, stressed the importance of marking, record-keeping and tracing, as well as of adequate legislative frameworks and criminalization provisions, for the purpose of facilitating the effective criminal

investigation and prosecution of possible illicit firearms trafficking. Another panellist made a presentation on the new Illicit Arms Records and Tracing Management System developed by the International Criminal Police Organization (INTERPOL) to facilitate global information exchange and cooperation between authorized law enforcement agencies on crime-related firearms and firearms trafficking, and encouraged States to make extensive use of that tool. Another panellist addressed different aspects of judicial cooperation and the work of Eurojust. He noted the significantly lower level of casework for firearms trafficking, as opposed to other crimes, and encouraged States to consider making greater use of good practices to facilitate international cooperation in criminal matters, such as the use of standardized glossaries of technical terms, the recording and sharing of data on seizures and operational information, and the facilitation of joint investigative teams to advance criminal investigations. Another panellist, from the European Union (EU), referred to the efforts made by EU to give priority to the firearms issue within the Union and abroad, and on measures taken to streamline the work of EU and its member States, such as legislation, the collection of statistical data on firearms, exchange of information and expertise within the Union and the adoption of common action plans.

12. During the subsequent discussions, the Working Group exchanged views and experiences on available expertise and methods for successful investigation, and referred in particular to the relevance of the tracing of firearms. With regard to national legislation, the Group recommended that States parties that had not yet done so review and strengthen their national legislation, consistent with the Firearms Protocol, inter alia through adequate criminalization provisions and appropriate sanctions, commensurate with the nature and gravity of the offence.

13. The constructive interactive discussions that followed allowed the Working Group to address several aspects of the agenda item, such as challenges and good practices related to the marking and tracing of firearms, including the difficulties encountered by States with regard to tracing firearms assembled with illicitly trafficked parts and components. Several delegations expressed concern and identified this as a new and emerging modality of trafficking and illicit manufacturing in their region. Consequently, the Group discussed the good practices of keeping and making full use of firearms records and highlighted the importance of considering applying standardized nomenclature or terminology, in order to facilitate understanding and information exchange. In the same vein, the Group recognized the importance of effective transfer controls through national licensing or authorization systems, where possible, for parts, components and ammunition, as a way to reduce the risks of diversion and illicit trafficking. Furthermore, the Group exchanged views and experiences on the relevance of ballistic information technology and the usefulness of participating in the INTERPOL Ballistic Information Network as a means of increasing international cooperation in this field. The Working Group recommended encouraging States to make more use of forensic and ballistic tools for the promotion of cooperation among States in international firearms trafficking investigations, as well as to consider relying more on available tools, including those for marking and record-keeping, in order to facilitate the tracing and investigation of firearms trafficking.

14. The Working Group acknowledged the existence of difficulties and impediments for many operators in the conduct of complex criminal investigations

involving firearms and other serious crimes, including financial crimes, and noted the severe impact that the lack of specialized expertise and knowledge regarding firearms could have on criminal investigations and on effective international cooperation and tracing. The Group agreed to recommend States parties to further develop and provide training programmes to build capacities for relevant government authorities, including law enforcement, customs, prosecution and judicial authorities, on firearms trafficking investigations and related matters.

15. Delegations acknowledged that investigations of firearms trafficking did not always include the tracing of the firearms to establish their source and links with other serious crimes. A general consensus emerged that States parties need to comprehensively trace all firearms that might have been illicitly manufactured or trafficked and to regularly exchange experiences on different methods and tools to combat illicit trafficking in firearms, their parts and components and ammunition, including marking, in accordance with the Firearms Protocol. The Group consequently discussed the importance of looking at additional control measures not explicitly envisaged or required by the Firearms Protocol, such as the use of hidden markings or the marking of parts and components and, where possible, of ammunition. Recognizing the voluntary character of such measures, the Working Group consequently recommended the Conference to encourage States parties to promote the regular exchange of experience on such different methods and tools, including on marking, in accordance with the Firearms Protocol. It was also noted that the exchange of expertise among practitioners, at both the regional and the international level, was a fruitful way to strengthen national capacities and promote international cooperation. The Group identified good practices, such as the use of existing focal points under relevant instruments, including the Firearms Protocol, and of existing networks to facilitate regular exchanges of good practices in firearms control and in the investigation and prosecution of relevant firearms cases.

### 3. Monitoring the illicit trafficking flows in firearms at the national, regional and global levels

16. For its consideration of agenda item 3, the Working Group had before it a background paper by the Secretariat on challenges and good practices in countering the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition (CTOC/COP/WG.6/2014/2); a background paper prepared by the Secretariat on the activities of UNODC to promote the ratification and implementation of the Firearms Protocol (CTOC/COP/WG.6/2014/3), which contained, inter alia, information on the activities carried out by UNODC in relation to its study on firearms trafficking; the annual seizures report questionnaire (CTOC/COP/WG.6/2014/CRP.1); and the significant individual seizures report questionnaire (CTOC/COP/WG.6/2014/CRP.2).

17. The Secretariat briefed the Working Group on the current status of and progress made in conducting the study on firearms trafficking mandated by the Conference of the Parties in its resolutions 5/4 and 6/2, in particular on the steps taken by UNODC to strengthen the methodology, to finalize the questionnaires for the study in close consultation with Member States and to reach out to Member States to disseminate information and supporting tools for facilitating their participation in the study. The Working Group took note of the development by UNODC of a dedicated web platform for collecting responses from States and

acknowledged the efforts made by UNODC to provide capacity-building to targeted countries in Africa and South America to encourage their participation in the study.

18. During the subsequent discussions, the Working Group welcomed the outreach efforts of the Secretariat and the active involvement of regional groups and permanent missions, and took note of the preliminary findings, based on the first responses already received (25 State responses received, 12 States alerted the Working Group that their replies were delayed). Many delegations welcomed the study as a very important and useful initiative, praised the progress on the global study on firearms trafficking and took note of the preliminary findings. The Secretariat was also requested to continue including the permanent missions in the dialogue and the collection of data from national authorities. Clarifications were provided by the Secretariat on the use of indicators such as the population index for the measurement of seizure rates. While a few delegations expressed scepticism with regard to the response rate, many others emphasized that the results achieved so far were very promising and encouraging, considering the short time available for States to compile and submit the data. Several delegations considered that the response rate would increase over time and encouraged UNODC to repeat the collection exercise on a regular basis. Speakers noted the importance of collecting information over time and highlighted the importance of sharing such data at the regional and global levels, for the purpose of establishing patterns and trends in firearms trafficking. It was recommended that UNODC continue its efforts to complete the global study on firearms trafficking, and Member States were invited to participate in and contribute to the global study, as appropriate. Many delegations expressed support for and stressed the importance of the study and its continuation for their countries, and suggested that the Conference be recommended to encourage UNODC and Member States to continue the collection and analysis of data on firearms. The Working Group recommended that Member States continue providing information to UNODC on illicit trafficking in firearms, based on the questionnaires issued for the global study.

19. Following the presentation of the Secretariat, four panellists contributed to the discussions with individual presentations on national or global efforts to analyse and monitor trafficking information. Some panellists highlighted international cooperation and achievements in the fight against the cross-border trafficking of firearms. The panellist from Argentina explained how the adoption of an integrated arms control policy, the establishment of a centralized entity in charge of firearms control (National Arms Registry) and the development of a comprehensive record-keeping system to monitor arms throughout their lifetime had aided his country in significantly reducing uncontrolled proliferation and the number of deaths and injuries related to firearms, while also increasing the number of surrendered and destroyed firearms, enhancing national controls and facilitating regular monitoring and analysis of firearms. The panellist from Romania highlighted the relevance of monitoring and analysing data on seized firearms for intelligence and investigative purposes, and for the identification of possible trafficking patterns and flows. He stressed the importance for his country of central national registers as enablers for effective information exchange and international cooperation. He noted the existing challenges in cooperation posed by the lack of common definitions and terms and the use of different standards in data collection. Both of those panellists highlighted how harmonized legislation, common or standardized glossaries or nomenclatures of technical terms and effective

information-sharing at the national and international levels could contribute to strengthening ongoing monitoring efforts and could support existing channels of cooperation. The panellist from the European Union emphasized the relevance for EU of strategic and analytical materials based on firearms data for the review and assessment of its own strategic policies in that regard. The panellist from Switzerland highlighted the importance of academic and analytical research related to firearms data and the usefulness of such findings for the design of national, regional and international responses and strategies. Some speakers noted that success stories needed to be given prominence and that the prevention measures adopted by many States, including marking and record-keeping, had resulted in limiting the accessibility of firearms to organized criminal groups.

20. On the basis of those discussions, the Working Group recommended the Conference to encourage States parties to develop or strengthen coordination among relevant and competent national authorities, with a view to enhancing capacities for statistics and data collection, analysis and information-sharing related to illicit firearms trafficking. Many delegations acknowledged the need for enhanced international cooperation in monitoring data on illicit firearms trafficking flows and recommended that Member States share information on the terms and concepts used in relation to firearms, their parts and components and ammunition, in order to establish equivalent terminology for facilitating the tracing of firearms. It was also recommended that UNODC and States parties cooperate with all relevant stakeholders, as appropriate, in the gathering of statistical information and analysis related to illicit trafficking in firearms.

## 4. Challenges and good practices to prevent illicit manufacturing of firearms

21. For its consideration of agenda item 4, the Working Group had before it a background paper by the Secretariat on challenges and good practices in countering the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition (CTOC/COP/WG.6/2014/2), which addressed the issue of illicit manufacturing of firearms.

22. Discussions on this agenda item were preceded by presentations by four panellists, who provided examples of emerging forms of illicit manufacturing and of national practices for its prevention. Most panellists emphasized the importance of States' keeping abreast of emerging technologies and trends related to the illicit manufacturing of firearms, their parts and components and ammunition. The panellist from Italy provided the views and experience of the manufacturing industry on preventing illicit manufacturing and highlighted the importance of standardized marking systems, including through commonly agreed proof marks, such as those established by the 1969 Convention for the Reciprocal Recognition of Proof Marks on Small Arms. Some panellists emphasized that smart and emerging technologies, including three-dimensional (3D) printing, could represent new challenges for States and needed to be addressed at the international level. The panellist from the United States provided details on challenges related to new technologies and emphasized the need to respond with adequate normative frameworks. The panellist from Argentina provided a short overview of the types of illicitly manufactured arms that were predominantly found and seized in the region. He recommended strengthening national legislation and regulation, especially of parts and components, and enhancing border control measures to counter those

challenges. The UNODC representative provided an overview of the illicit manufacturing provisions contained in the Firearms Protocol and gave examples of the typology of illicit manufacturing, which encompassed high-quality imitations, 3D-printed arms, firearms assembled with illicitly trafficked parts and components from different origins, and handcrafted or rudimentary arms production with components not originally intended for the manufacture of arms.

23. Most panellists and the Working Group considered the need to enhance the regulation of parts and components to prevent the risk of theft and diversion and their illicit trafficking and assembly as parts of new firearms. The Group reached consensus on the need to respond to those challenges and recommended that States parties review their national legislation to ensure its adequacy in the light of the new and emerging trends and technologies for firearms manufacturing and trafficking. Further, it was recommended that UNODC encourage States parties to cooperate with all relevant stakeholders in raising awareness related to the illicit manufacturing of firearms, in particular with the private sector, academia, civil society and the media. Several delegations referred to the need for strengthening prevention measures, particularly through the establishment and maintenance of effective systems of export and import licensing or authorization. In that regard, it was recommended that States parties establish and strengthen their national systems of export and import licensing or authorization for firearms, their parts and components and ammunition, in accordance with the Firearms Protocol, with a view to preventing illicit manufacturing and trafficking.

## 5. Considerations on the future work of the Working Group

24. Under agenda item 5, "Other matters", a discussion was held on the future work of the Working Group. There was consensus that States benefit from the deliberations of the Working Group, which enable the sharing of knowledge and the fostering of international cooperation in the implementation of the Firearms Protocol. Participants highlighted that the practical implementation of the Protocol's requirements called for the special attention of the Working Group at future sessions and that it should therefore continue to perform its functions as a standing working group of the Conference. In that respect, it was recommended that the Conference consider initiating discussions regarding a possible workplan for the future meetings of the Working Group.

25. Several delegations raised concerns about the appropriate funding for the Working Group, with respect to both regular and voluntary funds, and were conscious of the need to ensure equal support to all working groups of the Conference. Several delegations expressed the need to focus on financial resources and to consider measures that would lead to increased cost efficiencies. It was recommended that the Conference consider options for adequate resources and cost efficiencies to support the work of the Working Group.

26. The Group reached consensus that the Conference might wish to endorse the recommendations adopted by the Working Group and take note of the fruitful exchange of information concerning good practices and experiences, including contributions from Member States and other relevant stakeholders, facilitated in the Working Group.

# III. Recommendations adopted by the Working Group on Firearms at its meeting held in Vienna from 26 to 28 May 2014

27. The recommendations adopted by the Working Group at its meeting held in Vienna from 26 to 28 May are set forth below.

## A. General recommendations

*Recommendation 1*

The Conference may wish to encourage States to continue to implement the recommendations adopted by the Working Group at its first meeting, which were reaffirmed by the Group at its second meeting.

## B. Promoting universal adherence to the Firearms Protocol

28. Acknowledging the importance of the Firearms Protocol as the only global legally binding instrument to prevent and combat the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition, the Working Group made the following recommendations:

*Recommendation 2*

The Conference may wish to welcome the increased rate of ratifications of and accessions to the Firearms Protocol and should call upon States that have not yet done so to consider becoming parties to the Firearms Protocol.

## C. Challenges and good practices in the criminalization, investigation and prosecution of illicit firearms trafficking, and measures to enhance international cooperation in criminal matters, including through effective tracing of firearms in ongoing investigations

29. Emphasizing the importance of States' putting in place adequate legislative frameworks, including appropriate criminalization provisions, enhanced technical capacities and skills of practitioners for conducting complex criminal investigations on illicit firearms trafficking and related serious crimes, and of their engaging in more comprehensive international cooperation in criminal matters, including through more effective marking, record-keeping and tracing practices, and recognizing the usefulness of relevant tools such as the *Legislative Guides for the Implementation of the United Nations Convention against Transnational Organized Crime and the Protocols Thereto* and the *Model Law against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition*, as well as the use of forensic and ballistic information and joint investigative teams, the Working Group made the following recommendations:

### 1. Strengthening national legislation

*Recommendation 3*

The Conference should call upon States parties that have not yet done so to review and strengthen their national legislation, consistent with the Firearms Protocol, inter alia through adequate criminalization provisions and appropriate sanctions, commensurate with the nature and gravity of the offence.

### 2. Investigation and prosecution

*Recommendation 4*

The Conference may wish to urge States parties to consider the use of available tools, including those for marking and record-keeping, to facilitate the tracing and investigation of firearms trafficking.

*Recommendation 5*

The Conference may wish to encourage the use of forensic and ballistic tools to promote cooperation among States in international firearms trafficking investigations.

*Recommendation 6*

The Conference may wish to urge States parties to develop and provide training programmes to build capacities for relevant government authorities, including law enforcement, customs, prosecution and judicial authorities, on firearms trafficking investigations and related matters.

### 3. Tracing and international cooperation

*Recommendation 7*

The Conference may wish to encourage States parties to comprehensively trace all firearms that may have been illicitly manufactured or trafficked.

*Recommendation 8*

The Conference may wish to encourage States parties to conduct continuous capacity-building and training activities for law enforcement, judicial and customs authorities on the identification and tracing of firearms.

*Recommendation 9*

The Conference may wish to encourage States parties to promote the regular exchange of experiences on different methods and tools to combat illicit trafficking in firearms, their parts and components and ammunition, including marking, in accordance with the Firearms Protocol.

## D. Monitoring illicit trafficking flows in firearms at the national, regional and global levels

30. Recognizing that it is important for States to enhance their national capacities to collect and analyse firearms statistics and data, and the usefulness of monitoring illicit trafficking flows at the national, regional and international levels, with a view to enhancing global knowledge and identifying possible trends, patterns and modi operandi in illicit firearms trafficking, as well as facilitating the exchange of information among States; welcoming the progress made on the global study on firearms trafficking, conducted by UNODC pursuant to Conference resolutions 5/4 and 6/2; and taking note of its preliminary findings, the Working Group made the following recommendations:

*Recommendation 10*

The Conference may wish to encourage States parties to develop or strengthen coordination among relevant and competent national authorities, with a view to enhancing capacities for statistics and data collection, analysis and information-sharing related to illicit firearms trafficking.

*Recommendation 11*

The Conference may wish to encourage Member States to share information on the terms and concepts they use in relation to firearms, their parts and components and ammunition, with a view to establishing equivalent terminology and facilitating the tracing of firearms.

*Recommendation 12*

The Conference may wish to call upon Member States to strengthen the capacities of practitioners to make the best use of available tools to identify and trace firearms, in a manner consistent with the Firearms Protocol.

*Recommendation 13*

The Conference may wish to encourage UNODC to continue its efforts towards completing the global study on firearms and to invite Member States to participate in and to contribute to the global study, as appropriate.

*Recommendation 14*

The Conference may wish to invite Member States to continue providing information to UNODC on illicit trafficking in firearms, based on the questionnaires issued for the global study on firearms.

*Recommendation 15*

The Conference may wish to encourage UNODC and States parties to cooperate with all relevant stakeholders, as appropriate, in the gathering of statistical information and analysis related to illicit trafficking in firearms.

## E. Challenges and good practices in the prevention of the illicit manufacturing of firearms

31. Emphasizing that it is important for States parties to keep abreast of emerging technologies and trends related to the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition, the Working Group made the following recommendations:

*Recommendation 16*

The Conference may wish to encourage States parties to establish and strengthen their national system of export and import licensing or authorization over firearms, their parts and components and ammunition, in accordance with the Firearms Protocol, with a view to preventing the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition.

*Recommendation 17*

The Conference may wish to encourage States parties to review their national legislation to ensure its adequacy in the light of new and emerging trends and technologies for firearms manufacturing or trafficking.

*Recommendation 18*

The Conference may wish to request UNODC and to encourage States parties to cooperate with all relevant stakeholders in the field of awareness-raising related to the illicit manufacturing of and trafficking in firearms, in particular with the private sector, academia, civil society and the media.

## F. Recommendations on the provision of technical assistance

*Recommendation 19*

The Conference may wish to acknowledge the work carried out by the UNODC Global Firearms Programme to increase knowledge and awareness of the Firearms Protocol, and to request UNODC to continue to make efforts to promote and facilitate ratification and implementation of the Protocol, especially in regions with low ratification rates.

*Recommendation 20*

The Conference may wish to recommend that the Secretariat should continue to provide technical assistance and build capacity for the implementation of the Firearms Protocol.

*Recommendation 21*

The Conference may wish to encourage Member States and other donors to consider providing extrabudgetary resources to UNODC for the provision of technical and legislative assistance to Member States, upon request, for accession to and implementation of the Firearms Protocol.

## G. Future work of the Working Group

32. Welcoming the fruitful discussions of the Working Group and recognizing its important role as facilitator in the exchange of expertise and knowledge among practitioners on ways to enhance the implementation of the Firearms Protocol, and concerned by the lack of adequate resources to support the work of the Working Group, the Group made the following recommendations:

*Recommendation 22*

The Conference may wish to acknowledge the work of the Working Group and to encourage States to continue using the Group to exchange views and comments with regard to the Firearms Protocol, including on challenges faced in the ratification and implementation of the Protocol, as well as on good practices and successes in its implementation, with a view to reinforcing cooperation to prevent, combat and eradicate the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition.

*Recommendation 23*

The Conference may wish to endorse the recommendations adopted by the Working Group and to take note of the fruitful exchange of information concerning good practices and experiences, including contributions from Member States and other relevant stakeholders facilitated in the Working Group.

*Recommendation 24*

The Conference may wish to consider options regarding adequate resources and cost efficiencies to support the work of the Working Group.

*Recommendation 25*

The Conference may wish to call upon States parties to continue seeking the cooperation of licensed manufacturers in order to prevent, combat and eradicate the illicit manufacturing of and trafficking in firearms, their parts and components and ammunition, including in view of the deliberations of the Working Group.

*Recommendation 26*

Recalling Conference resolution 5/4 and taking into consideration articles 32 and 37 of the Convention, the Conference may wish to request States parties and UNODC to continue to promote the full implementation of the Convention and of the Firearms Protocol, with a view to identifying successful practices, weaknesses, gaps and challenges, as well as priority issues and topics of relevance in the fight against trafficking in firearms.

*Recommendation 27*

The Conference may wish to consider initiating discussions regarding a possible workplan for the future meetings of the Working Group on Firearms.

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# Conference of the Parties to the United Nations Convention against Transnational Organized Crime

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**Seventh session**
Vienna, 6-10 October 2014
Item 5 of the provisional agenda*
**Technical assistance**

## Report on the meeting of the Working Group of Government Experts on Technical Assistance held in Vienna from 28 to 30 October 2013

### Note by the Secretariat

1. The Working Group of Government Experts on Technical Assistance was established pursuant to decision 2/6 of the Conference of the Parties to the United Nations Convention against Transnational Organized Crime. In its decision 4/3, the Conference decided that the Working Group should be a constant element of the Conference. The previous meetings of the Working Group were held on 16 and 17 October 2006, from 3 to 5 October 2007, on 15 and 16 October 2008, on 1 and 2 October 2009, on 19 and 20 October 2010 and on 17 and 18 October 2012.

2. In its resolution 6/1 on ensuring effective implementation of the Organized Crime Convention and its Protocols, the Conference requested the United Nations Office on Drugs and Crime (UNODC) to continue providing technical assistance in order to support and complement national, regional and thematic programmes and activities based on the needs and priorities of Member States in combating transnational organized crime.

3. Furthermore, in its resolution 6/4 on the implementation of the provisions on technical assistance of the Organized Crime Convention, the Conference noted that technical assistance was a fundamental part of the work carried out by UNODC to assist Member States in the effective implementation of the Convention and its Protocols.

4. The Working Group of Government Experts on Technical Assistance held its seventh meeting from 28 to 30 October 2013. In accordance with the decision of the extended Bureau of the Conference of 12 December 2013, the report on the

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seventh meeting of the Working Group of Government Experts on Technical Assistance (CTOC/COP/WG.2/2013/5) will be made available to the Conference at its seventh session.